



YMP-LBNL ORGANIZATIONAL STRUCTURE

PROCEDURE ID: YMP-LBNL-QIP-1.0

REV.2, MOD.0

EFFECTIVE: 6/2/97

1. PURPOSE

This quality implementing procedure (QIP) describes the organizational structure, functional responsibilities, levels of authority, and lines of communication for Yucca Mountain Project (YMP) - Lawrence Berkeley National Laboratory (LBNL) quality-affecting activities. The procedure also identifies the interface and independent reporting structure for quality assurance (QA) responsibilities.

2. SCOPE

This procedure is applicable to the organizations and personnel directly responsible for establishing and executing work assignments supporting YMP-LBNL quality-affecting activities (see Attachment 1, Organizational Structure).

3. PROCEDURE

Not applicable.

4. RECORDS MANAGEMENT

4.1 Lifetime

Documented delegation of work or authority.

4.2 Non-permanent

None.

4.3 Controlled Documents

None.

4.4 Records Center Documents

Records associated with this procedure shall be submitted to the YMP-LBNL Records Processing Center, in accordance with YMP-LBNL-QIP-17.0 and AP-17.1Q.

5. RESPONSIBILITIES

Positions or organizations responsible for establishing and executing the QA program may delegate work and/or signature authority to other positions or organizations. Such delegations shall be made in writing, and this documentation shall become a lifetime record. The positions or organizations making the delegation shall retain overall responsibility for the delegated work.

5.1 Department Head, Nuclear Waste Department (Project Manager)

The Director of the Earth Sciences Division (ESD) has the overall responsibility of management of the LBNL commitment to the Yucca Mountain Site Characterization Project. The Director delegates the responsibility and authority for YMP-LBNL to the ESD Nuclear Waste Department Head, henceforth referred to as Project Manager (PM) (see Attachment 1). Included in this authority is responsibility for ensuring the achievement and maintenance of quality. The PM shall issue and maintain a policy statement directing mandatory compliance with the YMP-LBNL QA Program by YMP-LBNL personnel.

Conflicts or disputes involving quality arising from a difference of opinion between YMP-LBNL personnel and OQA personnel that cannot be resolved shall be referred to successively higher levels of management within YMP-LBNL and OQA for final resolution.

5.2 Quality Assurance Management

The Director, Office of Quality Assurance (OQA), Office of Civilian Radioactive Waste Management (OCRWM), U. S. Department of Energy is responsible for YMP quality assurance functions. The responsibilities and reporting hierarchy of the OCRWM OQA are identified in OCRWM QAP 1.1, Organization.

Wherever the term QA Manager, QA Staff, or similar term is used in LBNL implementing documents it shall be deemed to mean the OCRWM OQA.

5.3 Engineering Assurance Management

The YMP-LBNL QA Program is directed by the YMP-LBNL Engineering Assurance Manager (EA Manager), who reports functionally to Project Manager. The EA Manager is an individual with appropriate knowledge and experience in management and QA. The EA Manager interfaces with project personnel on QA matters as necessary, and will refer any related unresolved conflicts and disputes to the PM for further resolution.

The EA responsibilities of the YMP-LBNL EA Manager include:

- a) serving as a focal point in developing, reviewing, and approving the YMP-LBNL QA Program documents to assure they meet LBNL and DOE QA requirements;
- b) interpreting and approving QA Program requirements as they apply to YMP-LBNL activities;
- c) maintaining liaison with Yucca Mountain Project Site Characterization Office (YMSCO) management to assure adequate compliance with the YMP QA Program;
- d) providing and directing all support for the QA activities for the YMP-LBNL;
- e) identifying quality problems, initiating, recommending, or providing solutions to quality problems;
- f) overseeing the proper establishment and execution of the QA Program;g) reporting EA program information to internal management and to M&O EA Management.

5.4 EA Staff

Staff personnel, under the direction of the EA Manager, work in collaboration with the principal investigators and assist with implementing the QA Program. These EA Staff are responsible for assisting in the integration of the quality requirements into the technical activities. They are responsible for identifying problems relating to quality and for working with other technical personnel to define and implement solutions to the problems.

5.4.1 Software Specialist

The Software Specialist works with the developers of software to be used in YMP-LBNL quality affecting work to ensure the development process proceeds according to YMP-LBNL requirements.

5.5 Technical Personnel

Technical personnel include Group Leaders (GLs), Principal Investigators (PIs), and Technical Staff. As depicted in Attachment 1, technical work performed by LBNL is grouped into three areas. The hierarchy suggested in the organization chart conveys levels of responsibility and is not intended to convey line management authority. All individuals performing technical work report directly to the PM.

Technical personnel are responsible for carrying out assigned YMP-LBNL tasks and satisfying all technical and quality requirements including those specified in contracts, purchase documents, or management directives.

5.5.1 Group Leaders

Group leaders serve as focal points for coordinating groups of activities that are loosely categorized by their common nature (i.e., site characterization data analysis, performance assessment, and field and laboratory studies). They serve as informal advisors to the PM on topics in these areas and may represent LBNL, as the PM's designee, on committees pertaining to their areas of knowledge. In some instances GLs may also be PIs. In these instances, the GL's technical and QA responsibilities would be the same as that of a PI.

5.5.2 Principal Investigators

Principal Investigators are responsible for managing the technical work of their projects and ensuring that it is carried out in a technically defensible and cost effective manner which includes good QA practices. A PI may work alone on a project, but more commonly is supported by a number of technical staff who are assigned to various project components.

The PIs have the responsibility to:

- a) establish the quality standards for their projects/activities in compliance with YMP-LBNL QA program requirements;
- b) assure that technical procedures, scientific notebooks and/or other appropriate documentation, are developed, approved, and followed for applicable quality-affecting activities;
- c) assure implementation of quality requirements and continued compliance therewith for applicable quality-affecting activities; and
- d) assure that YMP-LBNL QA program requirements are included in appropriate requests for proposals, bids, contracts, subcontracts, and purchase orders.

5.5.3 Technical Staff

Technical staff are responsible for conducting their portion of a project in a technically defensible and cost-effective manner which includes good QA practices. Under the direction the PI and the EA Manager, technical staff shall follow the requirements listed in 5.5.2.

5.6 YMP-LBNL Records Coordinator

The YMP-LBNL Records Coordinator reports functionally to the PM and directs the YMP-LBNL Record Processing Center activities that include, but are not limited to: receipt, review, indexing, accessioning, protecting and submitting for imaging of all applicable records developed under the YMP-LBNL QA program; providing controlled distribution for YMP-LBNL QIPs, TIPs and other documents that prescribe quality-affecting activities; maintaining certain identified YMP-LBNL records; providing input for the development and revision of associated QIPs; and review of each QIP to identify which YMP-LBNL record(s) it may generate.

5.7 YMP-LBNL Records Staff

The YMP-LBNL Records Staff, including the Document Control Staff, work in the YMP-LBNL Records Processing Center and perform the functions identified in Section 5.6 of this procedure under the direction of the YMP-LBNL Records Manager.

5.8 Contractors

All organizations which support or perform YMP-LBNL quality-affecting activities shall comply with the requirements of the YMP-LBNL QA program, or another approved program as specified by written agreement. Written agreements shall be used to document interfaces between such outside organizations and the YMP-LBNL.

5.9 Training Requirements

YMP-LBNL personnel who conduct activities governed by the QARD are required to be trained to this procedure.

6. ACRONYMS AND DEFINITIONS

6.1 Acronyms

None.

6.2 Definitions

None.

7. REFERENCES

DOE/RW-0333P, *Quality Assurance Requirements and Description*

AP-17.1Q, *Record Source Responsibilities for Inclusionary Records*.

YMP-LBNL-QIP-17.0, *Submitting Records to the YMP-LBNL Records Processing Center*

8. FIGURES AND ATTACHMENTS

Attachment 1 ORGANIZATIONAL STRUCTURE
YUCCA MOUNTAIN PROJECT
BERKELEY LAB. & OQA INTRFACE

9. REVISION HISTORY

9/6/95 - Revision 0, Modification 1:

Addressed delegation of work and signature authority.

12/7/95-Revision 0, Modification 2:

Revised procedure to better reflect QARD requirements.

10/21/96- Revision 1, Modification 0:

Revised procedure to reflect requirements changes in QARD, rev. 5.

Made general clarifications and improvements.

6/2/97 -Revision 2, Modification 0:

Revised procedure to introduce the term Engineering Assurance (EA) and to identify the role and responsibilities of the EA Manager and OQA representative.

10. APPROVALS

Preparer:

Date

Technical Reviewer:

Date

Technical Reviewer:

Date

QA Reviewer:

Date

QA Manager:

Date

Project Manager:

Date